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10269-11CIP  
(HSX/001 CIP2)

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicants : Timothy Maxwell Keiser, et al.  
Application No. : 09/382,907 Confirmation No. : 5840  
Filed : August 25, 1999  
For : COMPUTER-IMPLEMENTED SECURITIES  
TRADING SYSTEM WITH A VIRTUAL  
SPECIALIST FUNCTION  
Group Art Unit : 3623  
Examiner : Akiba K. Robinson Boyce

New York, New York 10020  
May 12, 2004

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT

Sir:

In accordance with 37 C.F.R. §§ 1.56 and 1.97, applicants hereby make the documents listed in Appendices A, B, C, D and E attached hereto of record in the above-identified patent application.

Documents in Appendix A, which are listed on the accompanying Form PTO-1449 (submitted in duplicate), were originally submitted on April 11, 1996, and are of record in parent U.S. Patent Application No. 08/620,906, filed March 25, 1996, Patent No. 5,950,176, issued September 7, 1999, from which priority is claimed.

05/14/2004 SSITHB1 00000118 09382907 180.00 OP  
01 FC:1806

Documents in Appendix B, which are listed on the accompanying Form PTO-1449 (submitted in duplicate), were originally cited on April 22, 1998, and are of record in parent U.S. Patent Application No. 08/620,906, filed March 25, 1996, Patent No. 5,950,176, issued September 7, 1999, from which priority is claimed.

Documents in Appendix C, which are listed on the accompanying Form PTO-1449 (submitted in duplicate), were originally cited on June 7, 1999, and are of record in parent U.S. Patent Application No. 08/620,906, filed March 25, 1996, Patent No. 5,950,176, issued September 7, 1999, from which priority is claimed.

Documents in Appendix D, which are listed on the accompanying Form PTO-1449 (submitted in duplicate), were originally cited on August 2, 2002, and are of record in parent U.S. Patent Application No. 09/184,571, filed November 2, 1998, Patent No. 6,505,174, issued January 7, 2003, from which priority is claimed.

Accordingly, pursuant to 37 C.F.R. § 1.98(d), copies of documents in Appendices A-D are not provided. Copies of documents in Appendix E are provided.

This Statement is being submitted after the mailing of a First Office Action on the merits. Accordingly, applicants have enclosed a check in the amount of \$180.00 in payment of the fee for submission of an Information Disclosure Statement in accordance with 37 C.F.R. § 1.97 (c) (2). The Director is hereby authorized to charge payment of any additional fees required in connection with this

Information Disclosure Statement to Deposit Account No. 06-1075.

It is respectfully requested that these documents be (1) fully considered by the Patent and Trademark Office during examination of this application; and (2) printed on any patent which may issue on this application.

Applicants request that a copy of Form PTO-1449, as considered and initialed by the Examiner, be returned with the next communication.

A duplicate copy of this Information Disclosure Statement is enclosed herewith.

Consideration of the foregoing in relation to this patent application is respectfully requested.

Respectfully submitted,



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Claire J. Saintil-van Goodman



Signature of Person Signing

## APPENDIX A

### U.S. Patent Documents

3,499,646	03/1970	Burgess, Jr. et al.
4,597,046	06/1986	Musmanno et al.
5,270,922	12/1993	Higgins
5,297,032	03/1994	Trojan et al.

## APPENDIX B

### U.S. Patent Documents

3,573,747	04/1971	Adams, C. et al.
4,903,201	02/1990	Wagner, S.
4,980,826	12/1990	Wagner, S.
5,508,913	04/1996	Yamamoto, K. et al.
5,692,233	11/1997	Garman, M.
5,727,165	03/1998	Ordish, C. et al.

## APPENDIX C

### U.S. Patent Documents

5,375,055	12/1994	Togher et al.
5,905,974	05/1999	Fraser et al.

## APPENDIX D

### Foreign Patent Documents

WO98/58333A1	12/1998	PCT
DE3539545A1	07/1986	Germany

### Other Documents

Ye, Jia, "An Investigation of Market Fragmentation and the Specialist's Quotation Strategy (Information Risk, Liquidity, Bid Ask Spread", 1995, Volume 57/03-A of Dissertation Abstracts International, p. 1260, 97 pgs.

## APPENDIX E

### U.S. Patent Documents

5,537,314	07/1996	Kanter
5,724,524	03/1998	Hunt et al.
6,578,010	06/2003	Teacherson

### Foreign Patent Documents

WO01/39056A1	5/2001	PCT
WO01/16825A1	3/2001	PCT

### Other Documents

Amex.com, The Street.com, Across the Street: Buying Stock in Hollywood, Jeffrey L. Newman, November 17, 1997, 2 pgs.

Cones; 43 Ways to Finance Your Feature Film. 1995. pages 47 and 45.

Cones, John W. and Wilke, Pete, "Investor Financing of Independent Film", 1998.

Engineers, Hollywood Stock Exchange, printed on 11/13/97, 2 pgs.

Jack Feuer: Disc Driven. Findarticles.com; July 12, 1999.

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The Internet Bull Market in Movies, Newsweek, Yahlin Chang, February 3, 1997, pgs. 3.

Lights, Camera, Capital On-line Investing, Debra Kaufman, WIRED Magazine, May 2001, 1 sheet.

MediaX and CMC International Records Team Up for Exclusive Download Campaigns with Major Artists. PR Newswire, Dec. 9, 1999.

"A New Craze for March's Maddest: Online 'Trading' of NCAA Shares", Barbara Martinez, The New York Times Company: Abstracts, March 8, 1994.

The New York Times, The Hollywood Stock Market: You Can't Lose, Laura Pedersen-Pietersen, January 11, 1998, 3 pgs.



The Rogue Market Journal, The Power Play on Popular Culture, A Letter from the Editor, print on 12/31/96, 18 pgs.

SunSpot Maryland's Online Community, Taking Stock at the Box Office, Alex Dubin, printed on 8/19/97, 5 pgs.

VENTURA COUNTY REVIEW; The Los Angeles Times; Dec. 15, 1998.

American Film Market; Hollywoodnet.com; 1997,  
<http://www.hollywoodnet.com/conferences/afm97.htm>

Astral Media The Harold Greenberg Fund's Equity Investment Program; 1992,  
<http://www.tmn.ca/hgfund/pdf/fundEquityJune2002.pdf>

Avary's Domain - Interviews - Multimeter Magazine Interview, Mar. 3, 1994; pages 9-10,  
<http://www.avary.com/killingzoe/details/interview.kz.millimetermag.html>

Canadians turn to co-finance, pre-sales for TV prod'n coin. Findarticles.com, Jan. 19, 1998,  
[http://www.findarticles.com/cf\\_0/m1312/n10\\_v369/20371093/print.jhtml](http://www.findarticles.com/cf_0/m1312/n10_v369/20371093/print.jhtml)

FORM PTO-1449

U.S. DEPARTMENT OF COMMERCE  
PATENT AND TRADEMARK OFFICE

## ATTY. DOCKET NO.

10269-11CIP  
(HSX/001CIP2)

## APPLN. NO.

09/382,907

SUPPLEMENTAL INFORMATION DISCLOSURE  
STATEMENT BY APPLICANT

## APPLICANTS

Timothy Maxwell Keiser,  
et al.

## CONF. NO.

5840

## FILING DATE

August 25, 1999

## GROUP ART UNIT

3623



## U.S. PATENT DOCUMENTS

EXAMINER INITIAL	DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
	3,499,646	3/1970	Burgess, Jr. et al.	273	1	
	3,573,747	04/1971	Adams, C. et al.	340	172.5	
	4,597,046	6/1986	Musmanno et al.	364	408	
	4,903,201	02/1990	Wagner, S.	364	408	
	4,980,826	12/1990	Wagner, S.	364	408	
	5,270,922	12/1993	Higgins	364	408	
	5,297,032	3/1994	Trojan et al.	364	408	
	5,375,055	12/1994	Togher et al.	364	408	
	5,508,913	04/1996	Yamamoto, K. et al.	364	408	
	5,537,314	07/1996	Kanter	364	406	
	5,692,233	11/1997	Garman, M.	705	36	
	5,724,524	03/1998	Hunt et al.	395	237	
	5,727,165	03/1998	Ordish, C. et al.	395	237	
	5,905,974	05/1999	Fraser et al.	705	37	
	6,578,010	06/2003	Teacherson	705	14	

## FOREIGN PATENT DOCUMENTS

EXAMINER INITIAL	DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION	
						YES	NO
	WO98/58333A1	12/1998	PCT				
	WO01/39056A1	5/2001	PCT				
	WO01/16825A1	03/2001	PCT				
	DE3539545A1	07/1986	Germany				

## OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)

EXAMINER INITIAL	
	Amex.com, The Street.com, Across the Street: Buying Stock in Hollywood, Jeffrey L. Newman, November 17, 1997, 2 pgs.
	Cones; 43 Ways to Finance Your Feature Film. 1995. pages 47 and 45.
	Cones, John W. and Wilke, Pete, "Investor Financing of Independent Film", 1998.
	Engineers, Hollywood Stock Exchange, printed on 11/13/97, 2 pgs.

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DATE CONSIDERED

**EXAMINER:** Initial if citation considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not conformance and not considered. Include copy of this form with next communication to applicant.

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U.S. DEPARTMENT OF COMMERCE  
PATENT AND TRADEMARK OFFICEATTY. DOCKET NO.  
10269-11CIP  
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09/382,907SUPPLEMENTAL INFORMATION DISCLOSURE  
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	Jack Feuer: Disc Driven. Findarticles.com; July 12, 1999.
	Insider Trading - Hollywood Style, Entrepreneurial Edge Online, OnlinePress.com, Matthew Ragas, February 4, 1998, 3 pgs.
	The Internet Bull Market in Movies, Newsweek, Yahlin Chang, February 3, 1997, pgs. 3.
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	VENTURA COUNTY REVIEW; The Los Angeles Times; Dec. 15, 1998.
	Ye, Jia, "An Investigation of Market Fragmentation and the Specialist's Quotation Strategy (Information Risk, Liquidity, Bid Ask Spread", 1995, Volume 57/03-A of Dissertation Abstracts International, p. 1260, 97 pgs.
	American Film Market; Hollywoodnet.com; 1997, <a href="http://www.hollywoodnet.com/conferences/afm97.htm">http://www.hollywoodnet.com/conferences/afm97.htm</a>
	Astral Media The Harold Greenberg Fund's Equity Investment Program; 1992, <a href="http://www.tmn.ca/hgfund/pdf/fundEquityJune2002.pdf">http://www.tmn.ca/hgfund/pdf/fundEquityJune2002.pdf</a>
	Avary's Domain - Interviews - Multimeter Magazine Interview, Mar. 3, 1994; pages 9-10, <a href="http://www.avary.com/killingzoe/details/interview.kz.millimetermag.html">http://www.avary.com/killingzoe/details/interview.kz.millimetermag.html</a>
	Canadians turn to co-finance, pre-sales for TV prod'n coin. Findarticles.com, Jan. 19, 1998, <a href="http://www.findarticles.com/cf_0/m1312/n10_v369/20371093/print.jhtml">http://www.findarticles.com/cf_0/m1312/n10_v369/20371093/print.jhtml</a>

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